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UTILITY
PATENT APPLICATION
TRANSMITTAL

Attorney Docket No

520.40885X00

First Inventor

YUGAMI, JIRO

Title

SEMICONDUCTOR DEVICE AND PROCESS FOR PRODUCING
THE SAME

Express Mail Label No

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- 1 ☒ Fee Transmittal Form (e.g., PTO/SB/17)
Submit fee and fee certificate with this form.
- 2 ☐ Applicant claims small entity status
See 37 CFR 1.27
- 3 ☒ Specification [Total Pages: 32]
Preferred arrangement set forth below:
-Descriptive title of the invention
-Cross Reference to Related Applications
-Statement Regarding Fed sponsored R & D
-Reference to sequence listing, a table,
or a computer program listing appendix
-Background of the Invention
-Brief Summary of the Invention
-Brief Description of the Drawings (if filed)
-Detailed Description
-Claim(s)
-Abstract of the Disclosure
- 4 ☒ Drawing(s) (35 U.S.C. 113) [Total Pages: 7]
- 5 Oath or Declaration [Total Pages: 4]
a ☒ Newly executed (original or copy)
b ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
Named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)
- 6 ☐ Application Data Sheet See 37 CFR 1.76

- 7 ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
- 8 Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies), or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9 ☒ Assignment Papers (cover sheet & documents(s)) ✓
- 10 ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
- 11 ☐ English Translation Document (if applicable)
- 12 ☒ Information Disclosure ☐ Copies of IDS Citations
Statement (IDS)/PTO-1449
- 13 ☐ Preliminary Amendment
- 14 ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- 15 ☒ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- 16 ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
- 17 ☒ Other: **SEE 1 IN ADDENDUM**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner: _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

020457

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name ANTONELLI, TERRY, STOUT & KRAUS, LLP

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Zip
Code

Country

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(703) 312-6600

Fax

(703) 312-6666

Name

Gregory E. Montone

Registration No. (Attorney/Agent)

28,141 28,577

Signature

Date

December 7, 2001

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FEE TRANSMITTAL for FY 2002				<i>Complete if Known</i>																																																																																																																																																														
<i>Patent fees are subject to annual revision.</i>				Application Number																																																																																																																																																														
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1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit overpayments to: Deposit Account Number 01-2135 Deposit Account Name Antonelli, Terry, Stout & Kraus, LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant Claims small entity status. See 37 CFR 1.27				3. ADDITIONAL FEES <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65 Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25 Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130 Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520 For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920* Requesting publication of SIR prior to Examination action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840* Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55 Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200 Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460 Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720 Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980 Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160 Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160 Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140 Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510 Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55 Petition to revive - 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SUBMITTED BY		<i>Complete (if applicable)</i>	
Name (Print/Type)	Gregory E. Montone - Ronald J. Shaw	Registration No. (Attorney/Agent)	28,141 28,577
Signature	[Signature]	Telephone	703-312-6600
		Date	12/07/01

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PTO SB 05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL (ADDENDUM) (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.		520.40885X00
	First Inventor		YUGAMI, JIRO
	Title	SEMICONDUCTOR DEVICE AND PROCESS FOR PRODUCING THE SAME	
	Express Mail Label No.		

1. CREDIT CARD PAYMENT FORM
FIGS. 1A-D, 2A-C, 3A-C, 4A-B, 5, 6A-C, 7A-C

Burden Hour Statement This form is estimated to take 2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.